

ANSI ASC X12N 837 Test Submission Procedures File Transfer Protocol (FTP) Communication Method

File Transfer Protocol (FTP) is a communications option for sending claims and retrieving various audit reports and remittances.

IMPORTANT: Refer to appropriate 837 Companion Document for specific data requirements pertaining to each line of business.

REQUIRED SOFTWARE:

In order to use the FTP server for submitting claims, you must have the following:

- A TCP/IP stack
- An FTP executable or FTP client software
- Compression software (i.e. WinZip or PKZip)
- A valid user ID and password (Assigned by EDI Services)

CONNECTION STEPS:

- 1) Choose a communication option:
 - a. Through your Internet Service Provider (ISP).
 - b. Through a standard telephone line: This connection uses Windows Dial-up Networking or UNIX PPP dial. You will dial into an access server establishing a point-to-point connection before connecting to the FTP server. The access server number is: **(205) 682-7420**. Refer to **Appendix A – Dial-Up Networking Set-Up** for additional set-up instructions.
 - c. Through frame relay or a dedicated line (T1, T3, etc.): To establish a frame relay connection you must first arrange the line setup with your telephone service. Once you have the line in place we will need to assign an identifier for authentication.
- 2) Connect to the Server: **blueprivftp.bcbsal.org**

NOTE: Access and FTP servers are available to upload and download files
24 hours a day, 7 days a week.

PROCEDURES FOR SUBMITTING AN 837 FILE:

1. FILE NAMING CONVENTION - Files must be compressed and named as follows:

File naming convention **BEFORE** they are zipped (not compressed):

(t,p) (bc) (p,i,d) (0000-9999).clm (i.e., **tbcp0000.clm**)

File naming convention **AFTER** they are zipped (compressed):

(t,p) (bc) (p,i,d) (0000-9999).zip (i.e., **tbcp0000.zip**)

See naming convention legend on next page.

LEGEND:

t = Testing	bc = Blue Cross and	p = Professional	0000-9999 = Transmission
p = Production	Blue Shield of	i = Institutional	number (per day)
	Alabama	d = Dental	

NOTE: To ensure files are not accidentally overwritten:

- Do not send files of the same name on the same day.
- ***.clm** File name BEFORE compression should match ***.zip** file name AFTER compression. Only the extension name should change (i.e. *tbcp0000.clm* and *tbcp0000.zip*).

1. After the file has been named appropriately and zipped according to the information above, the file should be uploaded to the FTP server in **binary** mode. **NOTE:** Use of FTP client software such as *CuteFTP* or *WS_FTP* is recommended if your software does not use scripts to perform FTP commands. Refer to **Appendix B – FTP Commands for DOS** to see an example of FTP commands using DOS.

****DESCRIPTION OF FILES TO BE DOWNLOADED**

997 – Functional Acknowledgement – Standard ANSI ASC X12N 4010A1 transaction verifying acceptance or rejection of 837 claims file.

Daily Log File – Text file log initially generated upon creation of 997. One log file generated per date of transmission. Log file is appended to throughout the day as status of 837 claims files changes. Confirms receipt of file, unzip status, and detail of Level 1 and Level 2 edit errors.

Audit Reports and Electronic Report Files (ERF) – Files that are placed in your FTP directory upon completion of Level 3 edit checking. They include compression, Level 1 and Level 2 edit information as well.

- ▶ Claims that pass all edits are accepted for processing and a claim number is assigned.
- ▶ Claims that do not pass edits are listed in the files along with the reason they did not pass the edit.

The Audit Report contains a large portion of the information in the ERF, however, it is a free form text file whereas the ERF is a source document in a proprietary format that can be translated within your software.

If you wish to program for ERF translation within your software, the layout specifications can be downloaded from our web site:

<https://www.bcbsal.org/providers/vendors/pdfs/ERF%20Layout.pdf>

If you do not choose to offer this detailed information to your clients the Audit Report can be used to verify claim file submissions.

File Naming Conventions

997 – [Client ID].[837 File Name].[Submission Date].[Submission Time (hhmmss)].X997
(i.e. CLIENTID.TBCP0000.20021016.000000.X997)

Daily Log File – [Client ID].[Submission Date]
(i.e. CLIENTID.20021016)

Electronic Report File (ERF) and Audit Reports:

The proprietary formatted version of edit results information (ERF):

Compressed: [Client ID].[Submission Date].t01.bcauderf.zip

(i.e. CLIENTID.20021026.t01.bcauderf.zip)

Uncompressed: [Client ID].[Submission Date].t01.bcauderf

(i.e. CLIENTID.20021026.t01.bcauderf)

The free form text version of edit results information (Audit Report):

Compressed Formatted Report File: [Client ID].[Submission Date].t01.bcaudrpt.zip

(i.e. CLIENTID.20021026.t01.bcaudrpt.zip)

Uncompressed Formatted Report File: [Client ID].[Submission Date].t01.bcaudrpt

(i.e. CLIENTID.20021026.t01.bcaudrpt)

PROCESSING GUIDELINES AND FILE AVAILABILITY

- Test files must contain valid submitter and subscriber information.

***NOTE:** Refer to Appendix C – FTP Process Flow for a visual diagram of processing guidelines.*

- Claim files are unzipped and run through **Level 1*** and **Level 2*** edit checking every 2 hours beginning at 4:30 AM until 6:30 PM Central Time seven days a week.
 - **997**** and **Daily Log**** files are generated on the FTP server. The cutoff for further processing of the test (Level 3 business edits) is 3:30 PM Central Time.
This means if you submit a file after 3:30 PM Central Time you may receive a 997 and Daily Log file but you will not receive an audit report that includes business edits (Level 3) until the second business day.
- Files passing Level 1 and Level 2 edits are picked up for **Level 3*** edit checking every 2 hours beginning at 7:00 AM until 3:30 PM Central Time Monday through Friday.
- **Audit Reports**** are downloaded to the FTP Server at 11:00 PM for all claims files received before 3:30 PM Central Time Monday through Friday. Audit Reports are only generated upon successful completion of Level 1 and Level 2 edit checking.

***Edit Level Descriptions**

Level 1 – X12 standard edits – refer to X12 standards – limited support for error resolution by EDI Services Representative.

Level 2 – Implementation Guide (IG) edits – refer to ANSI ASC X12N 4010 Implementation Guide – limited support for error resolution by EDI Services Representative.

NOTE: If additional assistance is required for Level 1 and Level 2 error resolution, utilization of a third party certification vendor is recommended.

Level 3 – Business Level Edits – Claim level edit checking specific to the specific line of business (Professional or Institutional - Medicare or Private business)– Errors are returned via the Audit Trail (ERF). For further clarification of level 3 test results, contact EDI Services Representative. *Refer to **Appendix D – ERF Layout** for detailed file specifications.*

APPENDIX A – Dial-Up Networking Set-up

FOR WINDOWS 2000/XP:

1. Double Click on MY COMPUTER
2. Double Click on DIAL-UP NETWORKING icon (if ICON does not appear you will need to install Dial-Up Networking from your Windows Install CD)
2. Click on MAKE NEW CONNECTION – Follow the steps below using the Network Connection Wizard:
Select – Dial-up to private network and click NEXT. Enter the Phone number then name the connection.
3. You will then need to verify **Properties** for this DUN connection by right clicking on the icon or clicking the Properties button on the dial-up screen.
 - Security tab - select Typical security options with “Allow unsecured password”
 - Networking tab - Type of dial-up server I am calling: PPP: Windows95/98/NT4/2000, Internet.

FOR WINDOWS VISTA:

1. Go to the Start icon and select "Control Panel".
2. Double click the "Network and Sharing Center" icon.
3. On left of window, select the link "Set up a connection or network".
4. In the first dialog box, select "Set up a dialup connection", then click Next.
5. In the second dialog box, enter the phone number you wish to dial in "Phone Number", enter the username in the field for "User Name", enter the password in the field for "Password", and change the value of "Connection Name" to the name of the connection. Click on Create when finished.
6. The last dialog box will say "Connection to Internet is ready to use." Click on Close.
7. To ensure that the connection was created, click on the link marked "Manage Network Connections". You should see your new connection here.

Contact your EDI Services Representative if you need instructions for connection from a UNIX platform.

APPENDIX B - FTP COMMANDS FOR DOS

AFTER DIAL-UP ACCESS CONNECTION IS ESTABLISHED:

1. Go to a DOS prompt.
2. Go to C:\windows\ or C:\winnt\system32
3. Type **ftp blueprivftp.bcbsal.org**
4. Once the user prompt appears, type in your userid (This is the ID assigned by BCBSAL and the same that you used for Dial-up Networking) – This must be lowercase.
5. Once the password prompt appears, type in your password (This is also assigned by BCBSAL). This must be lowercase.
6. NOTE: If you miskeyed your userid or password, type “quit” or “bye” and start again at Step #3.
7. At the ftp> prompt, type **list** or **ls** - This will show you what files (if any) are in your directory.
8. To place a file on the Blue Cross ftp server from your local drive, type **binary** at the ftp> prompt.
9. Then type: **put filename.ext**

REMEMBER:

Both the source file and the compressed file must be named correctly – see Page 1
(Example source filename to be compressed: talp0001.clm)
(Example compressed filename to be transferred: talp0001.zip)

10. To retrieve a file from your ftp directory to your local drive, type **binary** at the ftp> prompt.
11. Then type: **get filename.ext**
(Example Remit filename to get: abc00001.20060811.t01.audrept.zip)

Appendix C – FTP Process Flow

